

23 MAR 2006

FORM PTO-1390

U.S. Department of Commerce Patent and Trademark Office

Attorney's Docket No.

3286-103

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. Application No. (if known)

New Application

INTERNATIONAL APPLICATION NO.
PCT/DE2004/002160INTERNATIONAL FILING DATE
September 23, 2004PRIORITY DATE CLAIMED
September 26, 2003

TITLE OF INVENTION

METHOD FOR DETERMINING THE FREQUENCY RESPONSE OF AN ELECTROOPTICAL COMPONENT

APPLICANT(S) FOR DO/EO/US
Dieter HUHSE, Olaf REIMANN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

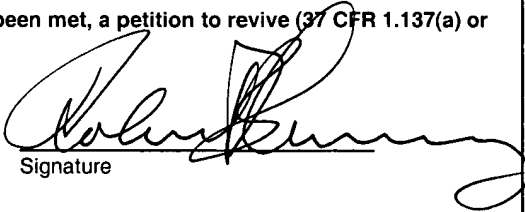
1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

ITEMS 11. TO 20. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☒ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

U.S. APPLICATION NO. (If known) New Application	INTERNATIONAL APPLICATION NO. PCT/JP2004/002160	ATTORNEY DOCKET NO. 3286-103
20. <input checked="" type="checkbox"/> Other items of information <input checked="" type="checkbox"/> PCT REQUEST <input type="checkbox"/> RO/105 <input type="checkbox"/> ISA/210(ISR) <input type="checkbox"/> IB/301 <input type="checkbox"/> IB/304 <input type="checkbox"/> IB/308 <input type="checkbox"/> IB 401 <input type="checkbox"/> IB/409(IPER) <input type="checkbox"/> IB/416 <input checked="" type="checkbox"/> Published Application WO 2005/031377 A1		
21. The following fees are submitted: <input checked="" type="checkbox"/> Basic National Fee \$300.00		<u>CALCULATIONS</u> \$ 300
22. <input checked="" type="checkbox"/> Examination Fee If the written opinion prepared by ISA/US or the IPER prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations \$200.00		\$ 200
23. <input checked="" type="checkbox"/> Search Fee If the written opinion of the ISA/US or the IPER prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Search Authority \$100.00 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400.00 All other situations..... \$500.00		\$ 400
TOTAL OF 21, 22 AND 23 =		\$ 900
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof.		\$
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof
- 100 =	/ 50 =	x 250
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).		\$
Claims	Number Filed	Number Extra
Total Claims	21 - 20 =	1
Independent Claims	1 - 3 =	
Multiple dependent claim(s) (if applicable)		+ \$360.00
TOTAL OF ABOVE CALCULATIONS =		\$ 950
<input type="checkbox"/> Applicant claims small entity status. The fees indicated above are reduced by 1/2.		\$
SUBTOTAL =		\$ 950
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).		\$
TOTAL NATIONAL FEE =		\$ 950
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		\$ 40
TOTAL FEES ENCLOSED =		\$ 990
		Amount to be refunded
		Amount to be charged

14920

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<p>a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 02-2135 in the amount of \$ 950 to cover the above filing fees and \$40 to cover the assignment recordation fee. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-2135. A duplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Customer No. 06449</p> <p>Rothwell, Figg, Ernst & Manbeck 1425 K St., N.W. Washington, D.C. 20005 Phone: 202/783-6040</p> <div> Signature <u>Robert B. Murray</u> Name <u>22,980</u> Registration Number</div>		

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. :

U.S. National Serial No. :

Filed :

PCT International Application No. : PCT/DE2004/002160

VERIFICATION OF A TRANSLATION

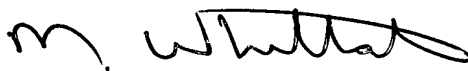
I, the below named translator, hereby declare that:

My name and post office address are as stated below;

That I am knowledgeable in the German language in which the below identified international application was filed, and that, to the best of my knowledge and belief, the English translation of the international application No. PCT/DE2004/002160 is a true and complete translation of the above identified international application as filed.

I hereby declare that all the statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent application issued thereon.

Date: January 31, 2006



Full name of the translator :

Michael Amos WHITTAKER

For and on behalf of RWS Group Ltd

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